State of Washington
Washington's Lottery

Human Resource Management Report

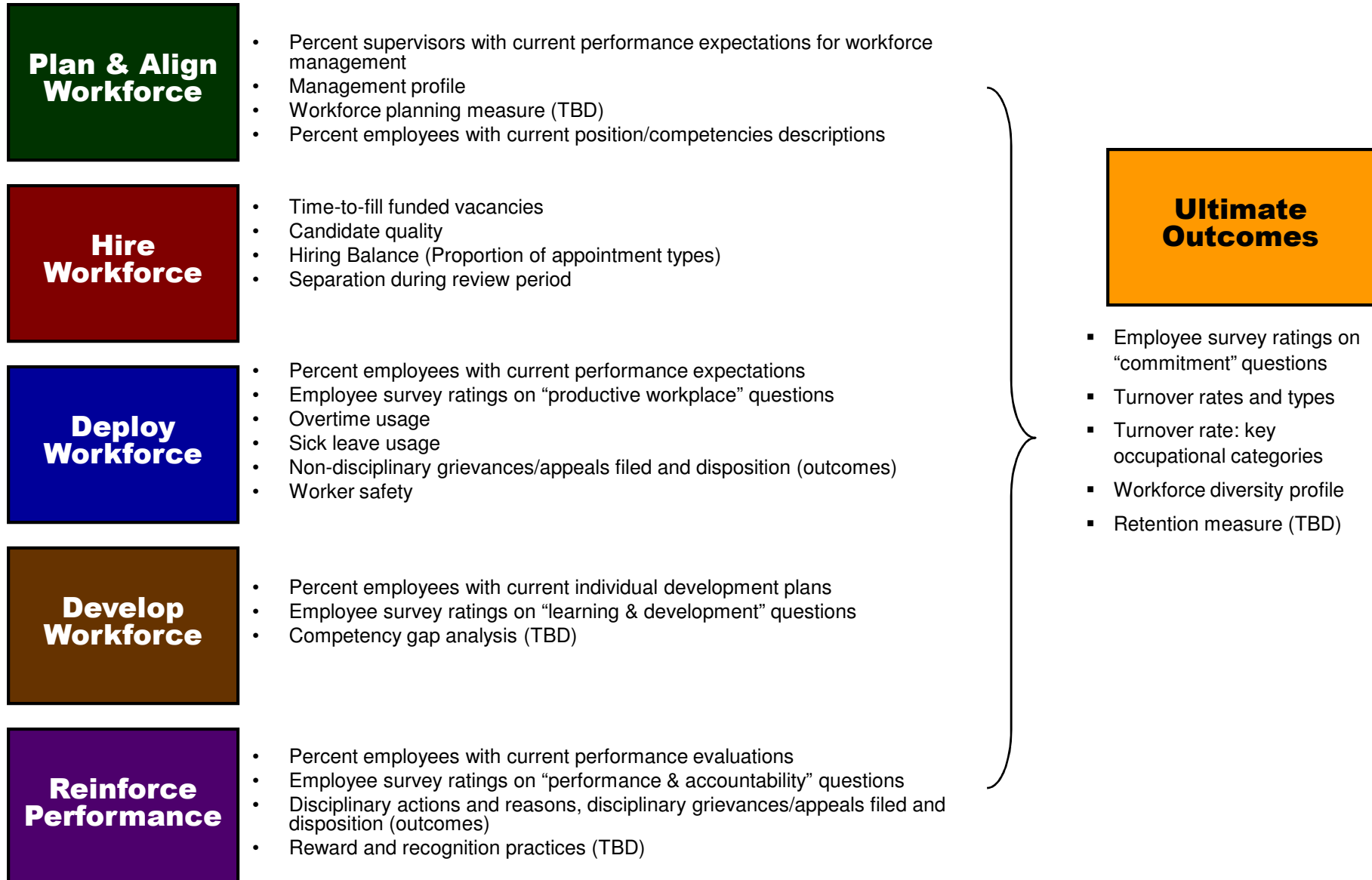Plan & Align Workforce

Hire Workforce

Deploy Workforce

Reinforce Performance

Develop Workforce
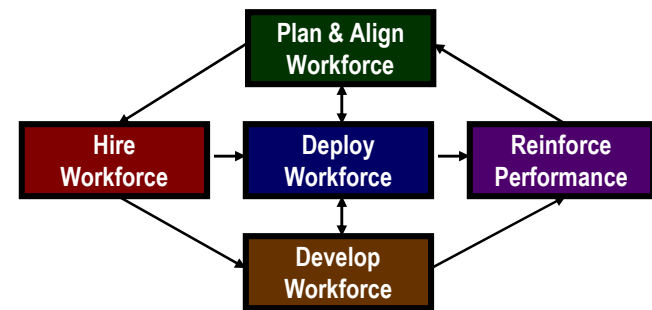
October 2008

Managers' Logic Model for Workforce Management

	Outputs	Initial Outcomes	Intermediate Outcomes	
Plan & Align Workforce	Articulation of managers HRM accountabilities. HR policies. Workforce planning. Job classes & salaries assigned.	Managers understand HRM accountabilities. Jobs, staffing levels, & competencies aligned with agency priorities.	Foundation is in place to build and sustain a productive, high performing workforce.	
Hire Workforce	Qualified candidate pools, interviews & reference checks. Job offers. Appts & per-formance monitoring.	Best candidate hired & reviewed during appointment period. Successful performers retained.	The right people are in the right job at the right time.	**Ultimate Outcomes**
Deploy Workforce	Work assignments& requirements defined. Positive workplace environment created. Coaching, feedback, corrections.	Workplace is safe, gives capacity to perform, & fosters productive relations. Staff know job rqmts, how they're doing, & are supported.	Time & talent is used effectively. Employees are motivated & productive.	**Employees are committed to the work they do & the goals of the organization** **Productive, successful employees are retained** **State has workforce depth & breadth needed for present and future success**
Develop Workforce	Individual development plans. Time/ resources for training. Continuous learning environment created.	Learning environment created. Employees are engaged in develop-ment opportunities & seek to learn.	Employees have competencies for present job & career advancement	**Agencies are better enabled to successfully carry out their mission. The citizens receive efficient government services.**
Reinforce Performance	Clear performance expectations linked to orgn'al goals & measures. Regular performance appraisals. Recognition. Discipline.	Employees know how performance contributes to success of orgn. Strong performance rewarded; poor performance eliminated	Successful perf is differentiated & strengthened. Employees are held accountable.	

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Standard Performance Measures

Plan & Align Workforce

- Percent supervisors with current performance expectations for workforce management
- Management profile
- Workforce planning measure (TBD)
- Percent employees with current position/competencies descriptions

Hire Workforce

- Time-to-fill funded vacancies
- Candidate quality
- Hiring Balance (Proportion of appointment types)
- Separation during review period

Deploy Workforce

- Percent employees with current performance expectations
- Employee survey ratings on "productive workplace" questions
- Overtime usage
- Sick leave usage
- Non-disciplinary grievances/appeals filed and disposition (outcomes)
- Worker safety

Develop Workforce

- Percent employees with current individual development plans
- Employee survey ratings on "learning & development" questions
- Competency gap analysis (TBD)

Reinforce Performance

- Percent employees with current performance evaluations
- Employee survey ratings on "performance & accountability" questions
- Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)
- Reward and recognition practices (TBD)

Ultimate Outcomes

- Employee survey ratings on "commitment" questions
- Turnover rates and types
- Turnover rate: key occupational categories
- Workforce diversity profile
- Retention measure (TBD)

Plan & Align Workforce

Workforce Management Expectations

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Agency Priority: Medium

> **Percent supervisors with current performance expectations *for workforce management* = 100%***

*Based on 27 of 27 reported number of supervisors

Analysis:

- Most supervisors have received initial PDP training (12 hours) and annual refresher training (4 hours). New supervisors are trained and supported as needed.

- Supervisors are evaluated against the workforce management expectations that have been established in their PDPs. These expectations, at a minimum, require:

  - Written performance expectations with outcomes that are measurable or observable

  - A training and development plan

  - Ongoing timely and honest performance feedback, including written quarterly performance reviews.

Action Steps:

- We are satisfied with our progress in this area.

- Continue providing ongoing manager/supervisor training and engaging in one-on-one support with managers as needed.

- Continue to ensure new supervisors attend the required supervisory training.

Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/ competency descriptions

Data as of 06/30/2008
Source: Agency Tracked

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Plan & Align Workforce

Management Profile

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/ competency descriptions

Agency Priority: Low

WMS Employees Headcount = 0

Percent of agency workforce that is WMS = 0%

Managers* Headcount = 17

Percent of agency workforce that is Managers* = 11.6%

* In positions coded as "Manager" (includes EMS, WMS, and GS)

**Washington Management Service
Headcount Trend**
Data Time Period: 07/01/2007 through 06/30/2008
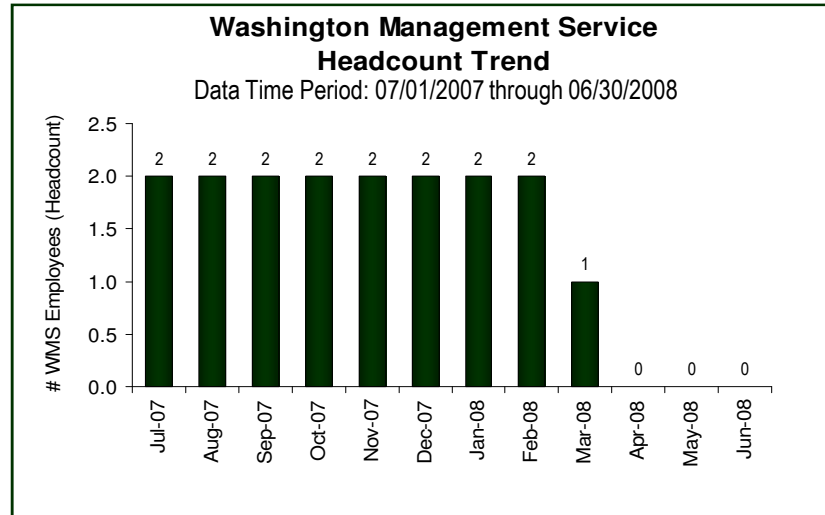
WMS Management Type

Management	0
Consultant	0
Policy	0
Not Assigned	0

N/A

Analysis:

- Lottery currently has one vacant Field Operations Manager (EMS).

- Lottery currently has three vacant WMS positions. We are not working to fill these positions.

Action Steps:

- Continue to evaluate position allocations and management designations as changes occur to ensure designations remain appropriate.

Data as of 06/30/2008
Source: HRMS BI Report

Plan & Align Workforce

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/ competency descriptions

Current Position/Competency Descriptions

Agency Priority: Medium

> **Percent employees with current position/competency descriptions = 98%***

*Based on 98 of 100 reported employee count
 Applies to employees in permanent positions, both WMS & GS

Analysis:

- Lottery continues to review and update Position Descriptions and Job Analyses when duties change and prior to filling vacant positions.

- Key Results Expected and Key Competencies are identified in each employee's PDP. 100% of PDPs are current.

Action Steps:

- As of July 1, 2008, we have updated 98 percent of our employee Position Descriptions.

  - HR will continue to work with employees and supervisors to ensure 100% completion.

Data as of 06/30/2008
Source: Agency Tracked

Hire Workforce

Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

Performance Measures

Time-to-fill vacancies

Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

Time-to-fill / Candidate Quality

Agency Priority: Medium

Time-to-fill Funded Vacancies

Average number of days to fill*:	47
Number of vacancies filled:	34

*Equals # of days from creation of the requisition to job offer acceptance

Agency Priority: Medium

Candidate Quality

Of the candidates interviewed for vacancies, how many had the competencies (knowledge, skills & abilities) needed to perform the job?

Number = [XXX]   Percentage = [XXX]

Of the candidates interviewed ... managers able to hire the best candidate ...

Hiring man... "yes":

...X]   Percentage = [XXX]%

...agers indicating "no":

Number = [XXX]   Percentage = [XXX]%

Lottery has not begun using formal Candidate Quality Surveys.

Analysis:

- Due to E-Recruiting difficulties, the Lottery does not use E-Recruiting exclusively. Rather, E-Recruiting is used in conjunction with other recruiting avenues – for example, applications and resumes are accepted directly at the agency as well as through E-Recruiting. Time to fill is agency-tracked.

- Lottery is not formally surveying managers regarding candidate quality.

- Lottery uses a thorough, multi-step hiring process that generally includes at least two panel interviews and a background investigation. Although the process can be lengthy, we believe that employees selected through this process possess the competencies necessary for success.

- Human Resources staff screens applicants based on their stated competencies. Applicants selected for interview have stated that they possess the competencies requested; however, interviews indicate that some candidates do not possess the competency levels claimed. This concern will continue to be addressed through the applicant screening process.

- Although time to fill is longer than we would like, our new hires have generally been excellent employees and supervisors are satisfied with candidate quality.

Action Steps:

- Continue to work to reduce time to hire, particularly the time between first- and second-round interviews.

- Evaluate and implement, as appropriate, telephone pre-screening of applicants to increase the efficiency of the hiring process.

Data Time Period: 07/01/2007 through 06/30/2008
Source: Agency Tracked

Hire Workforce

Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

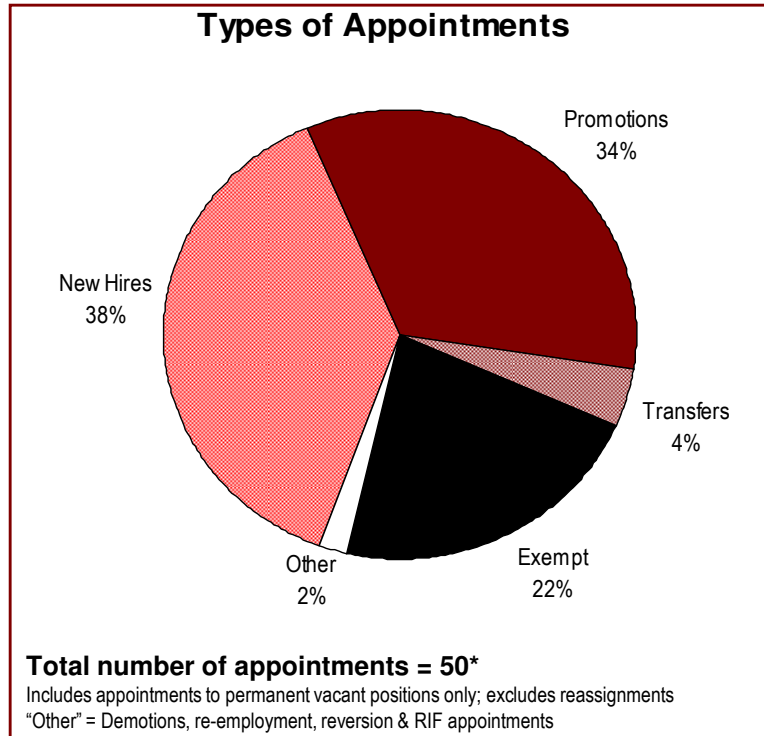**Performance Measures**

Time-to-fill vacancies

Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

Hiring Balance / Separations During Review Period

Agency Priority: Low

Types of Appointments

- Promotions 34%
- New Hires 38%
- Transfers 4%
- Exempt 22%
- Other 2%

Total number of appointments = 50*
Includes appointments to permanent vacant positions only; excludes reassignments
"Other" = Demotions, re-employment, reversion & RIF appointments

Agency Priority: Medium

Separation During Review Period	
Probationary separations - Voluntary	1
Probationary separations - Involuntary	1
Total Probationary Separations	*2*
Trial Service separations - Voluntary	1
Trial Service separations - Involuntary	0
Total Trial Service Separations	*1*
Total Separations During Review Period	**3**

Data Time Period: 07/01/2007 through 06/30/2008
Source: HRMS BI Report

Analysis:

- New Hires and Promotions continue to be well-balanced.

- There were two probationary and one trial service separation during this time frame. Two of these three separations were voluntary. Most employees appointed during this time frame have demonstrated the competencies necessary for success.

Action Steps:

- Agency managers and Human Resources will continue to work closely together to identify high-quality candidates who possess the competencies necessary for success. This includes performing in-depth job analyses; clearly identifying critical competencies for inclusion in recruitments; careful screening of applicants; and thorough employee selection processes.

- Managers will continue to closely monitor employee performance and consult with Human Resources to resolve issues early.

- Evaluating our recruitment practices to determine whether there are appropriate ways to improve applicant pools.

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Current Performance Expectations

Agency Priority: Medium

> **Percent employees with current performance expectations = 100%***

*Based on 100 of 100 reported employee count
Applies to employees in permanent positions, both WMS & GS

In addition, 29 exempt employees have current performance expectations.

Analysis:

- Performance expectations are established during the PDP process each year. Expectations are reviewed during the Interim Review process and are updated as necessary to reflect the key results expected and key competencies for the current evaluation period.

- 100 percent of all Lottery employees have current performance expectations, including 100 General Government employees and 29 exempt employees.

Action Steps:

- Ensure that performance expectations are developed with newly appointed employees within two weeks of appointment.

- Monitor Interim performance reviews to ensure expectations are reviewed and discussed with all employees as required.

Data as of 06/30/2008
Source: Agency Tracked

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

**Employee survey ratings on "productive workplace" questions**

Overtime usage

Sick leave usage

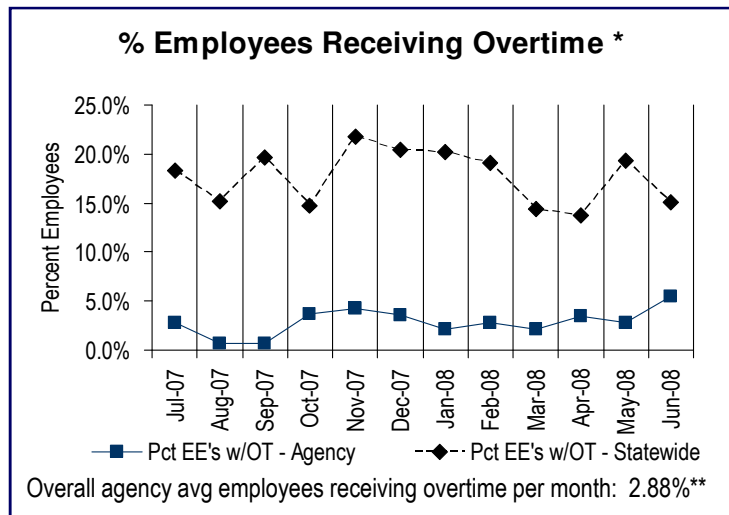Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Employee Survey "Productive Workplace" Ratings

Agency Priority: Medium

Avg

Q4. I know what is expected of me at work.
3% 4% 7% | 37% | 50% | 0%
4.3

Q1. I have the opportunity to give input on decisions affecting my work.
5% | 15% | 15% | 40% | 25% | 0%
3.6

Q2. I receive the information I need to do my job effectively.
4% | 12% | 21% | 45% | 19% | 0%
3.6

Q6. I have the tools and resources I need to do my job effectively.
6% | 9% | 20% | 43% | 19% | 2%
3.6

Q7. My supervisor treats me with dignity and respect.
2% 5% 7% | 33% | 52% | 1%
4.3

Q13. My agency consistently demonstrates support for a diverse workforce.
4% 7% | 18% | 30% | 40% | 1%
3.9

Q8. My supervisor gives me ongoing feedback that helps me improve my performance.
4% | 12% | 21% | 28% | 33% | 2%
3.8

Q9. I receive recognition for a job well done.
5% | 9% | 29% | 27% | 29% | 0%
3.7
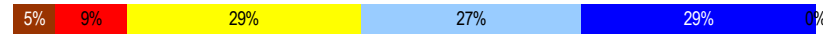
- Never/Almost Never
- Seldom
- Occasionally
- Usually
- Always/Almost Always
- No Response

Overall average score for "Productive Workplace" ratings: 3.9

Data as of 08/15/2008
Source: DOP Survey

Analysis:

- Employee satisfaction is important for the agency, and management will continue to work to improve employee satisfaction.

- In response to employee survey results regarding "Productive Workplace" questions, supervisors and employees attended PDP training that stressed the importance of employee input into goal setting and how to best manage assigned duties. This continues to be an area of focus for the agency.

Action Steps:

- Continue the agency's efforts to ensure employees have the information and input they need to do their jobs effectively. Communication methods include daily morning meetings for all available staff; clearly articulating the agency's Strategic Plan objectives and strategies to all employees; providing "Speak Up" as a tool that allows employees to ask questions, give input, and raise concerns anonymously; and "What's News," a weekly informational email to all employees from Director Chris Liu.

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

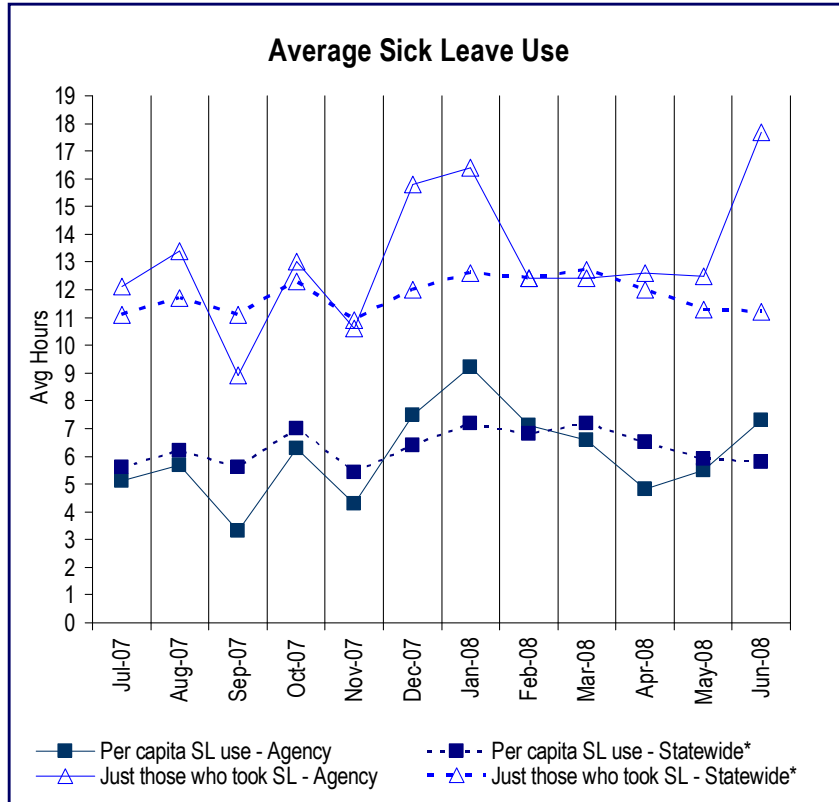Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Overtime Usage

Agency Priority: Low
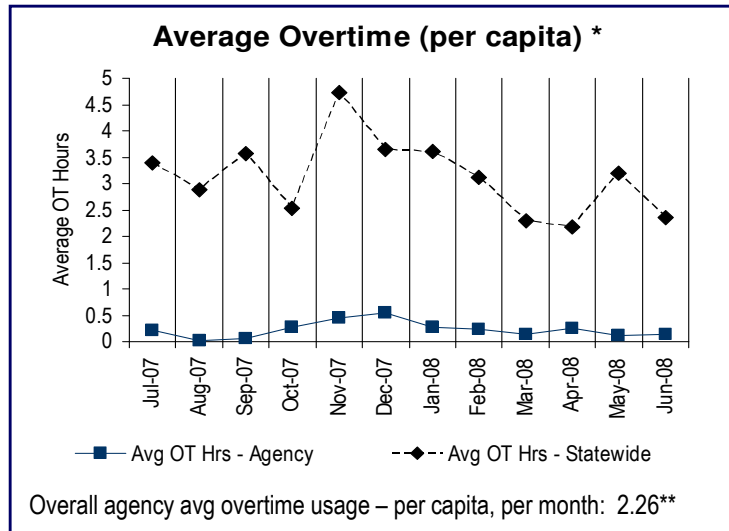
Average Overtime (per capita) *

Overall agency avg overtime usage – per capita, per month: 2.26**

*Statewide overtime values do not include DNR

**Overall agency avg overtime usage – per capita, per month = sum of monthly OT averages / # months

Overtime Cost - Agency

Month	Cost
Jun-08	$575
May-08	$542
Apr-08	$1,028
Mar-08	$590
Feb-08	$793
Jan-08	$881
Dec-07	$1,965
Nov-07	$1,521
Oct-07	$845
Sep-07	$183
Aug-07	$40
Jul-07	$798

% Employees Receiving Overtime *

Overall agency avg employees receiving overtime per month: 2.88%**

*Statewide overtime values do not include DNR

**Overall agency avg employees receiving overtime per month = sum of monthly OT percentages / # months

Data Time Period: 07/01/2008 through 06/30/2008
Source: HRMS BI Report
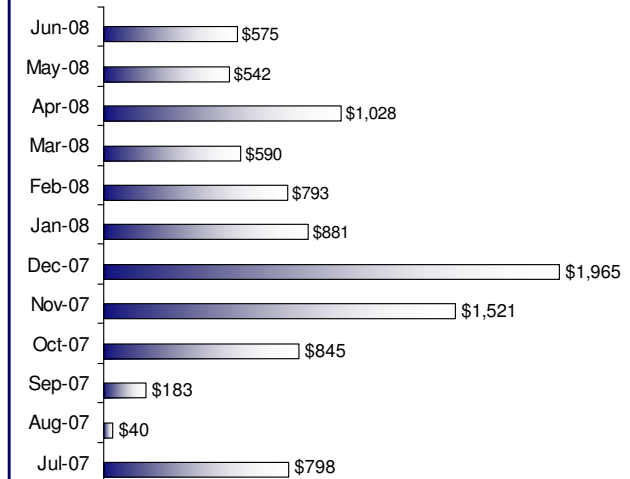
Analysis:

- Lottery's Average Overtime (per capita) and % of Employees Receiving Overtime are consistently lower than the state average.

- Overtime is primarily due to after-hours and weekend building maintenance. Lottery offices are secure, requiring staff to be in attendance any time vendors are in the building.

- Approximately 65% of Lottery staff are overtime-exempt, which contributes to low overtime costs.

Action Steps:

- Continue to closely manage overtime.

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Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Sick Leave Usage

Agency Priority: Medium

Average Sick Leave Use

Legend:
- Per capita SL use - Agency
- Per capita SL use - Statewide*
- Just those who took SL - Agency
- Just those who took SL - Statewide*

Analysis:

- Per Capita – Agency sick leave usage remains stable at 6.1 hours; the average usage for those who took sick leave reflects an increase this reporting period.

- During this period, 14 employees were on sick leave for extended periods as directed by their health care providers.

Action Steps:

- Continue to concentrate on reducing unplanned sick leave use.

- Continue working with supervisors and employees regarding proper leave usage.

- Continue to promote wellness activities, including influenza immunizations.

Sick Leave Hrs Used / Earned (per capita)

Avg Hrs SL Used (per capita) - Agency	% of SL Hrs Earned (per capita) - Agency	Avg Hrs SL Used (per capita) – Statewide*	% of SL Hrs Earned (per capita) – Statewide*
6.1 Hrs	**76.9**%	6.3 Hrs	81.3%

Sick Leave Hrs Used / Earned (those who took SL)

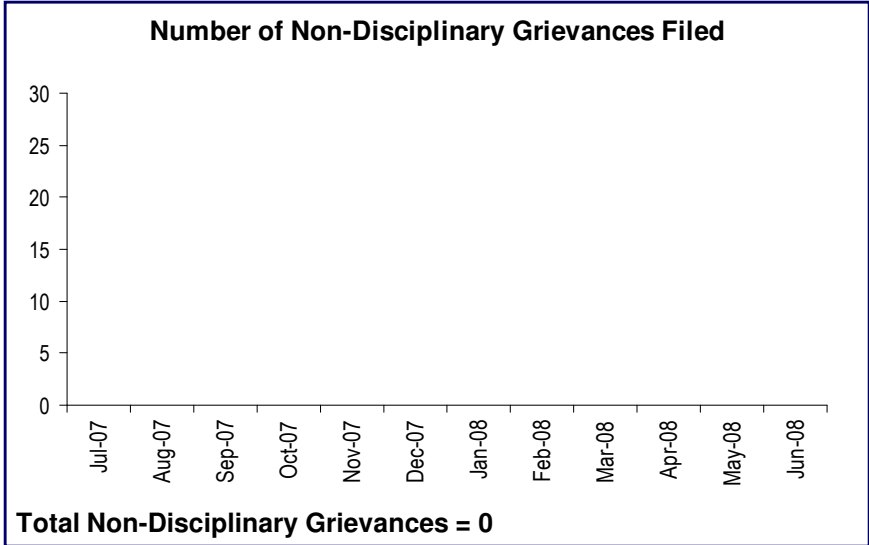| Avg Hrs SL Used (those who took SL) - Agency	% SL Hrs Earned (those who took SL) - Agency	Avg Hrs SL Used (those who took SL) – Statewide*	% SL Hrs Earned (those who took SL) – Statewide*
13.1 Hrs	**164.2**%	11.8 Hrs	147.3%

* Statewide data does not include DOL, DOR, L&I, and LCB
Data Time Period: 07/01/2007 through 06/30/2008
Source: HRMS BI Report

Non-Disciplinary Grievances (represented employees)

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Agency Priority: Low

Number of Non-Disciplinary Grievances Filed

Months: Jul-07, Aug-07, Sep-07, Oct-07, Nov-07, Dec-07, Jan-08, Feb-08, Mar-08, Apr-08, May-08, Jun-08

Y-axis: 0, 5, 10, 15, 20, 25, 30

Total Non-Disciplinary Grievances = 0

* There may not be a one-to-one correlation between the number of grievances filed (shown top of page) and the outcomes determined during this time period. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

Non-Disciplinary Grievance Disposition*
(Outcomes determined during time period listed below)

▪ None

Top 5 Non-Disciplinary Grievance Types
(i.e., Compensation, Overtime, Leave, etc)

Grievance Type	# Grievances
1.	
2.	
3.	
4.	
5.	

Data Time Period: 07/01/2007 through 06/30/2008
Source: HRMS BI Reports

Non-Disciplinary Appeals (mostly non-represented employees)

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Agency Priority: Low

Filings for DOP Director's Review

0 Job classification

0 Rule violation

0 Name removal from register

0 Rejection of job application

0 Remedial action

0 Total filings

Filings with Personnel Resources Board

0 Job classification

0 Other exceptions to Director Review

0 Layoff

0 Disability separation

0 Non-disciplinary separation

0 Total filings

Non-Disciplinary appeals only are shown above.

There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

Director's Review Outcomes

N/A

Total outcomes = 0

Personnel Resources Board Outcomes

N/A

Total outcomes = 0

Data Time Period: 07/01/2007 through 06/30/2008
Source: Department of Personnel

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Deploy Workforce

Outcomes

Staff know job expectations, how they're doing, & are supported.

Workplace is safe, gives capacity to perform, & fosters productive relations.

Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on 'productive workplace' questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition outcomes

Worker Safety

Worker Safety: Washington's Lottery

Analysis:

• Most claims arise from slips, trips and falls. Due to the nature of the Lottery District Sales Representative job, lifting injuries and motor vehicle accidents also occur occasionally.

• The agency requires all employees who are permanently assigned a state vehicle to attend Defensive Driving training and watch the "*Safe Driving Habits: A State of Mind*" video.

Action Plan:

▪ Continue requiring defensive driving education for all employees with permanently assigned state vehicles.
▪ Continue retraining for employees who are involved in vehicle accidents.
▪ Provide ergonomics and safe lifting information to all employees.
▪ Include "Employee Responsibilities for Safety" checklist in new employee packets.

Annual Claims Rate:

Annual claims rate is the number of accepted claims for every 200,000 hours of payroll

200,000 hours is roughly equivalent to the numbers of yearly payroll hours for 100 FTE

— ● — claims rate
— ■ — compensable claims rate
······ projected claims rate
······ projected compensable claims rate

All rates as of 06-30-2008
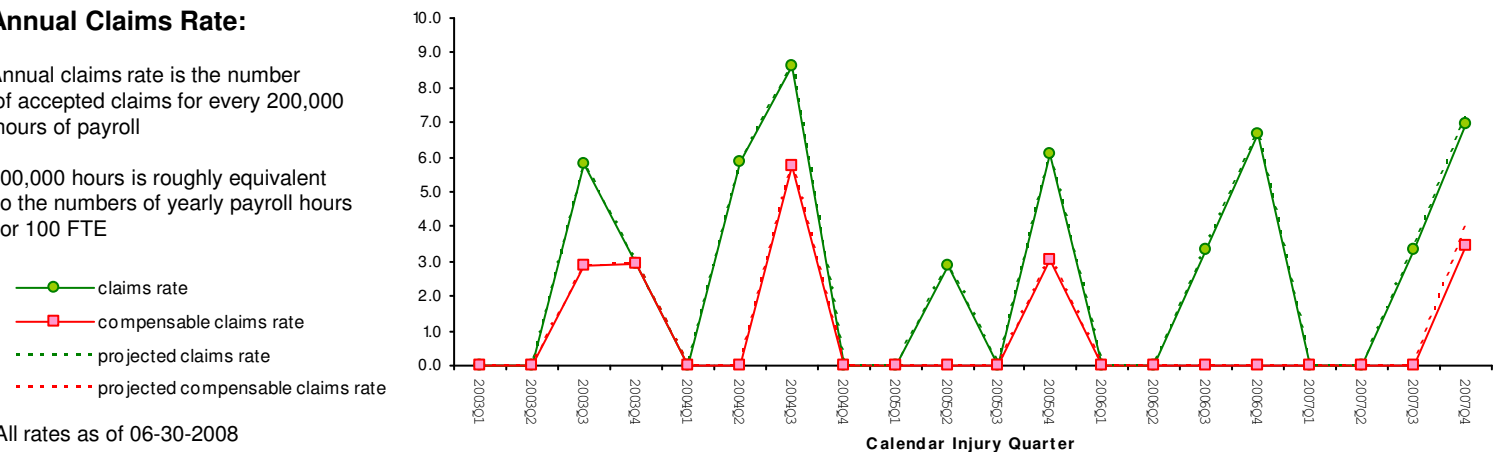
Accepted Claims by *Occupational Injury and Illness Classification System* (OIICS) Event:

calendar year-quarter 2003Q1 through 2007Q4

(categories under 3%, or not adequately coded, are grouped into 'Misc.')
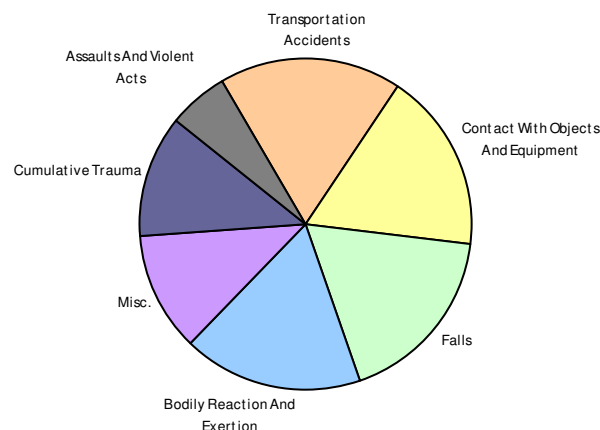
Cumulative Trauma Claims

Oiics Code	Oiics Description	Count
2	Bodily Reaction And Exertion	2

Source: Labor & Industries, Research and Data Services (data as of 06/30/2008)

Develop Workforce

Outcomes:

A learning environment is created. Employees are engaged in professional development and seek to learn. Employees have competencies needed for present job and future advancement.

Performance Measures

Percent employees with current individual development plans

Employee survey ratings on "learning & development" questions

Competency gap analysis (TBD)

Individual Development Plans

Agency Priority: Medium

Percent employees with current individual development plans = 100%*

*Based on 100 of 100 reported employee count
 Applies to employees in permanent positions, both WMS & GS

*In addition, 29 exempt employees have current performance expectations

Analysis:

- 100 percent of 100 General Government and WMS employees have current individual development plans that were developed as part of the annual PDP process.

- The status of the training plan is reviewed during the Interim reviews.

Employee Survey "Learning & Development" Ratings

Agency Priority: Medium

Employee Survey "Learning & Development" Ratings

Avg

Q5. I have opportunities at work to learn and grow.

| 5% | 7% | 19% | 37% | 32% | 0% | 3.8 |

Q8. My supervisor gives me ongoing feedback that helps me improve my performance.

| 4% | 12% | 21% | 28% | 33% | 2% | 3.8 |

- Never/Almost Never
- Seldom
- Occasionally
- Usually
- Always/Almost Always
- No Response
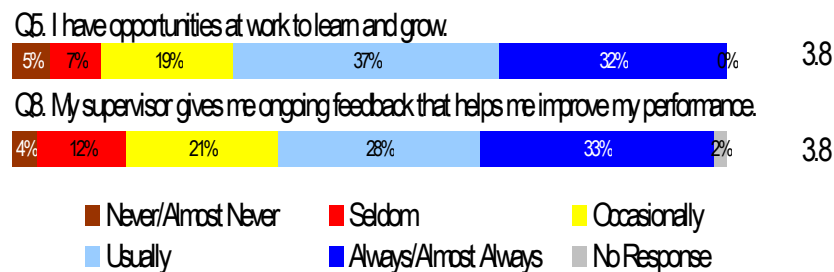
| **Overall average score for "Learning & Development" ratings:** | **3.8** |

Data as of 08/15/2008
Source: DOP Employee Survey

Analysis:

- Employee survey ratings for questions 5 and 8 are equal to or higher than the average statewide ratings.

- Lottery requires at least 8 hours of training per employee per year, and maintains a sufficient training budget to support this requirement.

- Lottery currently has two employees participating in the Tuition Reimbursement program and one in an in-training program.

Action Steps:

- Continue monitoring employee participation in training and development activities.

- Encourage additional opportunities such as job rotations, special projects, in-training programs, participation on cross-divisional work groups.

Reinforce Performance

Current Performance Evaluations

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures
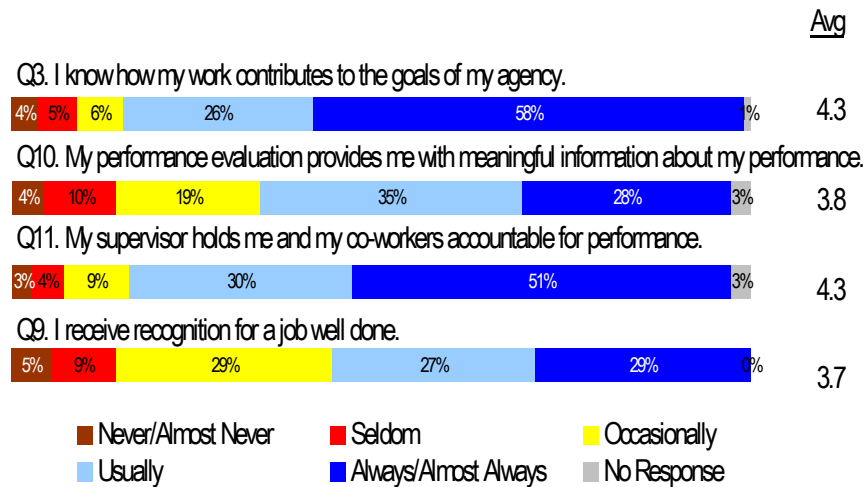
Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Agency Priority: Medium

Percent employees with current performance evaluations = 100%*

*Based on 100 of 100 reported employee count
Applies to employees in permanent positions, both WMS & GS

Analysis:

- Lottery has made timely evaluations a priority; all evaluations have been submitted timely for the past four years.

- Lottery supervisors conduct interim reviews with all employees.

- All Lottery employees attended PDP training that reinforced the importance of active participation in the PDP process during this reporting period.

- All Lottery staff attended Performance Management training that addressed the importance of ongoing performance feedback and connecting employee expectations to the agency's Strategic Plan

Action Steps:

- Strengthen Key Results on PDPs.

- Continue requiring 100% timely annual evaluations and interim reviews.

- Continue providing one-on-one assistance and PDP training to new supervisors and annual refresher training for all supervisors.

- Continue providing PDP training for all employees to reinforce the importance of active participation in the PDP process.

Data as of 06/30/2008
Source: Agency Tracked

Reinforce Performance

Employee Survey "Performance & Accountability" Ratings

Agency Priority: Medium

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Avg

Q3. I know how my work contributes to the goals of my agency.

| 4% | 5% | 6% | 26% | 58% | 1% | 4.3 |

Q10. My performance evaluation provides me with meaningful information about my performance.

| 4% | 10% | 19% | 35% | 28% | 3% | 3.8 |

Q11. My supervisor holds me and my co-workers accountable for performance.

| 3% | 4% | 9% | 30% | 51% | 3% | 4.3 |

Q9. I receive recognition for a job well done.

| 5% | 9% | 29% | 27% | 29% | 1% | 3.7 |

■ Never/Almost Never   ■ Seldom   ■ Occasionally
■ Usually   ■ Always/Almost Always   ■ No Response

| **Overall average score for "Performance & Accountability" ratings:** | **4.0** |

Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Analysis:

- Accountability is a focus throughout the agency.

Action Steps:

- Continue providing PDP training to new supervisors and annual refresher training for all supervisors to emphasize the importance of ongoing, meaningful feedback.

- Continue to reinforce the importance of active employee participation in the planning and feedback processes.

- Lottery paid Performance Management awards in October and will conduct a follow-up survey to assess the results and identify areas that may need further attention.

Data as of 08/15/2008
Source: DOP Employee Survey

Reinforce Performance

Formal Disciplinary Actions

Agency Priority: Low

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Disciplinary Action Taken

Action Type	# of Actions
Dismissals	0
Demotions	0
Suspensions	0
Reduction in Pay*	0
Total Disciplinary Actions*	**0**

* Reduction in Pay is not currently available as an action in HRMS/BI.

Issues Leading to Disciplinary Action
- No formal disciplinary actions were taken.

Analysis:

- No formal disciplinary actions this reporting period.
- Three employee were reprimanded during this time frame.
  - Two incidents of disrespectful behavior
  - One speeding ticket
- Three employee investigations resulted in voluntary separations in lieu of disciplinary action.

Action Steps:

- Human Resources will continue to work closely with supervisors and managers to address issues without delay.

Data Time Period: 07/01/2007 through 06/30/2008
Source: HRMS BI Report

Reinforce Performance

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Disciplinary Grievances and Appeals

Agency Priority: Low

**Disciplinary Grievances
(Represented Employees)**

Total # Disciplinary Grievances Filed: 0

**Disciplinary Appeals
(Non-Represented Employees
filed with Personnel Resources Board)**

0 Dismissal

0 Demotion

0 Suspension

0 Reduction in salary

0 Total Disciplinary Appeals Filed with PRB

There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

Disposition (Outcomes) of Disciplinary Grievances

N/A

Disposition (Outcomes) of Disciplinary Appeals*

N/A

*Outcomes issued by Personnel Resources Board

Data Time Period: 07/01/2007 through 06/30/2008
Source: Agency Data

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Employee survey ratings on "commitment" questions
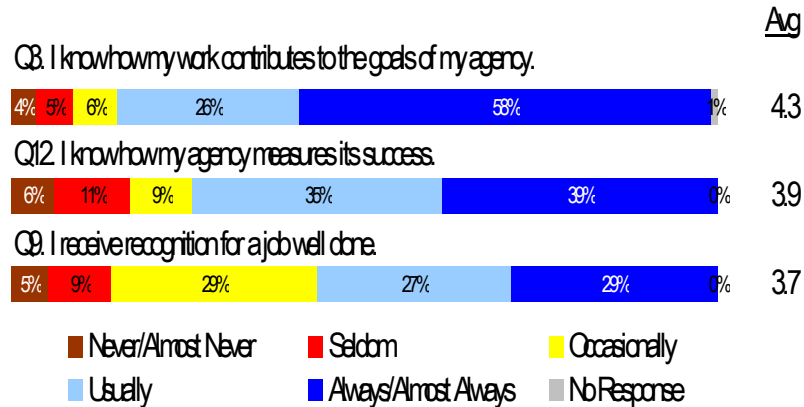
Turnover rates and types

Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

Employee Survey "Employee Commitment" Ratings

Agency Priority: Medium

Avg

Q3. I know how my work contributes to the goals of my agency.

| 4% | 5% | 6% | 26% | 58% | 1% | 4.3 |

Q12. I know how my agency measures its success.

| 6% | 11% | 9% | 36% | 39% | 0% | 3.9 |

Q9. I receive recognition for a job well done.

| 5% | 9% | 29% | 27% | 29% | 0% | 3.7 |

Legend:
- Never/Almost Never
- Seldom
- Occasionally
- Usually
- Always/Almost Always
- No Response

| Overall average score for "Employee Commitment" ratings: | 4.0 |

Analysis:

- Lottery Employee Survey ratings for "Employee Commitment" questions are equal to or above statewide averages.

Action Steps:

- Continue providing PDP training to new supervisors and annual refresher training for all supervisors to emphasize the importance of linking Key Results Expected to the Lottery's Strategic goals and ensuring ongoing, meaningful feedback about performance toward goals.

- Continue to reinforce the importance of active employee participation in the PDP planning and feedback processes.

Data as of 08/15/2008
Source: DOP Employee Survey

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Employee survey ratings on "commitment" questions
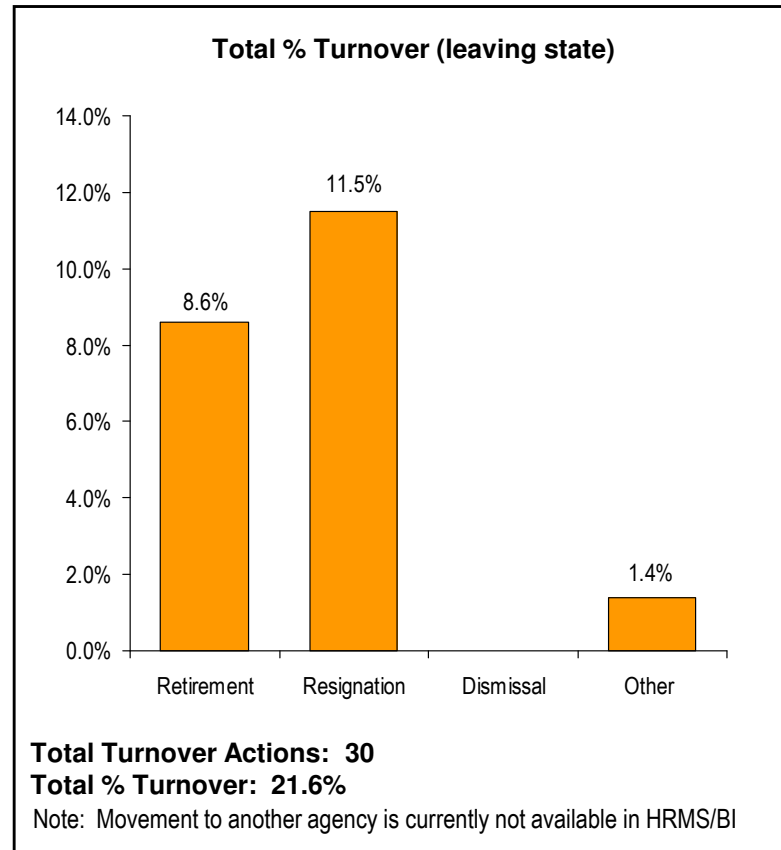
Turnover rates and types

Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

Turnover Rates

Agency Priority: High

Total % Turnover (leaving state)

Retirement	8.6%
Resignation	11.5%
Dismissal	
Other	1.4%

Total Turnover Actions: 30
Total % Turnover: 21.6%
Note: Movement to another agency is currently not available in HRMS/BI

Analysis:

▪ Turnover for this reporting period included 10 retirements. While high at 8.5%, retirements are at acceptable rates given the current workforce.

▪ Resignations are a high priority for the agency. Of the 14 resignations this reporting period, nine were to accept similar employment at a higher salary outside of state service.

▪ The Human Resource Director regularly conducts exit interviews with staff who leave the agency. Information gathered is reviewed for trends and shared with the appropriate Division Director, the Deputy Director, and the Director.

Action Steps:

▪ Continue succession planning efforts. Be open about those we are monitoring, training, and moving towards advancement. Get employee involvement in their future planning.

▪ Review allocations and exempt salary structure to ensure employees are properly compensated for the work assigned.

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Employee survey ratings on "commitment" questions

Turnover rates and types

Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

Workforce Diversity Profile

Agency Priority: Medium

	Agency	State
Female	61.1%	53%
Persons w/Disabilities	2.9%	4%
Vietnam Era Veterans	5%	6%
Veterans w/Disabilities	.7%	2%
People of color	17.3%	18%
Persons over 40	82%	75%

Diversity Profile by Ethnicity

Percent Age Distribution
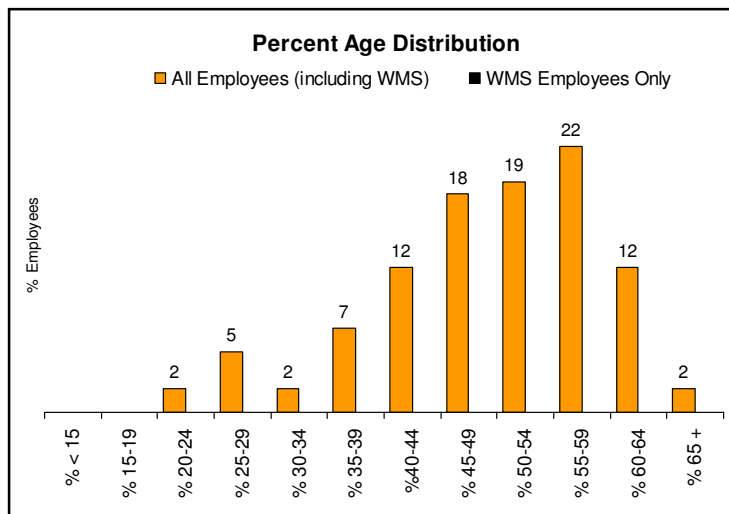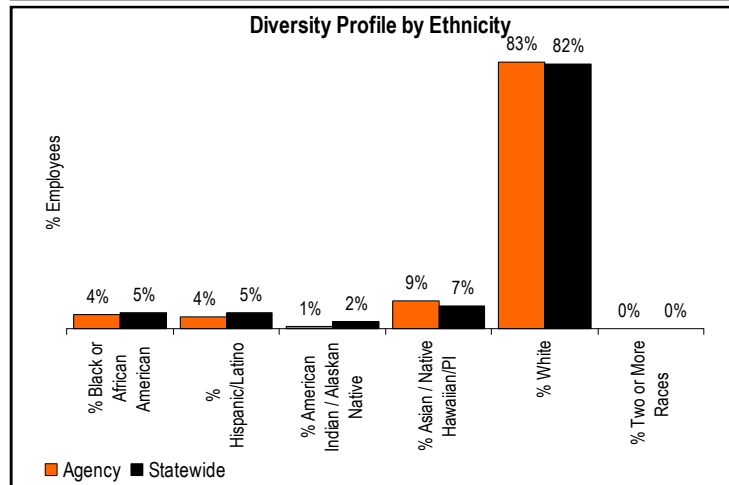
Analysis:

- The Lottery must consider and plan for the effects of an aging workforce. These can include higher sick leave usage, minor incidents that may result in significant injuries and longer recovery periods, and the loss of knowledge when experienced employees retire.

Action Steps:

- Maintain commitment to diversity and continue efforts to build diverse candidate pools.

- Contact the Commission on Asian Pacific American Affairs, the Commission on African-American Affairs, the Commission on Hispanic Affairs, the Governor's Office of Indian Affairs and the Governor's Committee on Disability Issues and Employment for assistance in reaching out to affected group members.

- Strengthen succession planning efforts. Increase employee involvement in their future planning.

- Emphasize safety and preventative care programs.

Data as of 06/2008
Source: HRMS BI Reports, revised to include exempt staff

Workforce Diversity Profile

Employee Survey "Support for a Diverse Workforce" Ratings

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

Employee survey ratings on "commitment" questions

Turnover rates and types

Turnover rate: key occupational categories
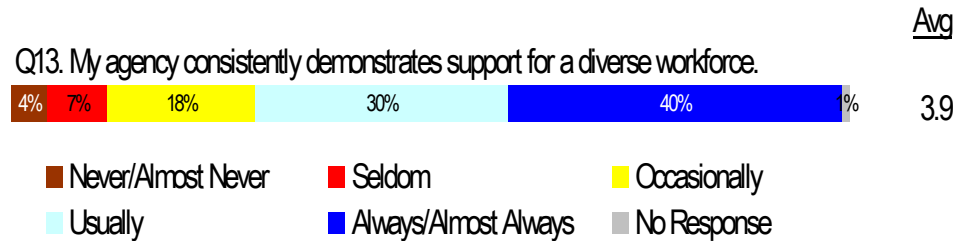
Workforce diversity profile

Retention measure (TBD)

Agency Priority: Medium

Employee Survey "Diversity" rating

Avg

Q13. My agency consistently demonstrates support for a diverse workforce.

4%	7%	18%	30%	40%	%

3.9

- ■ Never/Almost Never
- ■ Seldom
- ■ Occasionally
- ■ Usually
- ■ Always/Almost Always
- ■ No Response

Average rating for "Agency support for a diverse workforce":	3.9

Analysis:

- The Lottery's average score on this question is 3.9, compared to 3.83 statewide average.

- The agency fosters a community spirit and a sense of belonging by offering employees opportunities to become involved outside the formal workplace in a variety of recreational and volunteer activities such as ethnic potlucks; Black History month facts presented and posted; and activities done to aid KAGRO, the Korean-American Grocers Association, and the Latino Business, Consumer, and Career Expo.

- The agency has emphasized existing programs that advance the interests of a diverse workforce. This includes areas such as flex-time work schedules, family-friendly leave practices, Dependent Care Assistance, Employee Assistance Program, and tuition reimbursement.

Action Steps:

- Continue and enhance the agency's efforts to support a diverse workforce.

Data as of 09/05/2008
Source: DOP Employee Survey